



# STATE OF IOWA

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DEPARTMENT OF HUMAN SERVICES  
CHARLES J. KROGMEIER, DIRECTOR

## INFORMATIONAL LETTER NO. 836

**TO:** Iowa Medicaid Home and Community Based Service and Habilitation Providers

**FROM:** Department of Human Services, Iowa Medicaid Enterprise

**DATE:** September 1, 2009

**SUBJECT:** Incident Reporting

As many of you may know, rules were noticed and approved with an effective date of September 1, 2009 regarding the reporting of major and minor incidents. The rules can be found under each of the programs in the Iowa Code Section 249A.4, Chapter 77 and can be accessed at:  
[www.dhs.iowa.gov/policyanalysis/default.htm](http://www.dhs.iowa.gov/policyanalysis/default.htm).

The rules include the following:

- Amended the incident reporting standards for habilitation, Children's Mental Health, Intellectual Disability (ID) (formally Mental Retardation) and Brain Injury waivers providers.
- Add identical incident reporting standards for providers of services under the ill and handicapped, elderly, AIDS/HIV, and physical disability waivers.
- The incident reporting standards apply only to providers who have direct service contact with members/consumers.
- The standards define major and minor incidents, prescribe the content of an incident report form and set procedures for reporting incidents including notification to the guardian, case manager and the Iowa Medicaid Enterprise.

In cooperation with the Iowa Association of Community Providers and case managers, the Iowa Medicaid Enterprise has developed the Iowa Medicaid Provider Access (IMPA) portal to allow providers to report major incidents in an electronic format. The Incident Reporting System in IMPA has been tested and is ready for a progressive implementation. In order to have a smooth transition to this new reporting system and in coordination with IACP, several volunteer providers will begin utilizing this system beginning September 1, 2009. A second group of volunteer providers will begin utilization on October 1, 2009. Statewide implementation of incident reporting either by the Critical Incident Report form 470-4698 or the Iowa Medicaid Provider Access portal will begin November 1, 2009. This will also be the effective date of the incident reporting rules for the additional waiver providers. If you are interested in participating with the second group of providers, please register at the IME provider services website at <http://www.ime.state.ia.us/Providers/index.html> under Important Provider Announcements- Incident Reporting.

Throughout the progressive implementation phase, providers will be required to continue to track any incident through their current process. This means that the only providers reporting incidents to the Iowa Medicaid Enterprise are those who are enrolled for supported community living and supported employment in the HCBS ID (formerly MR) and Brain Injury waivers. For any other services that require incident reporting, providers should not send any incidents into IME under the new requirements unless the provider has been notified that they are a participant of either the first or second provider test groups. Information/instructions regarding the operation of the IMPA Incident Reporting System will be sent out by the IME prior to the providers' implementation date.

All current information and any updated information regarding the incident reporting requirements and the IMPA Incident Reporting System will be posted beginning September 1, 2009 on the IME Provider Services website <http://www.ime.state.ia.us/Providers/index.html>. If you have any questions regarding this information, please contact Minh Tran, IME Provider Services, at [mtran@dhs.state.ia.us](mailto:mtran@dhs.state.ia.us) or (515) 725-1236. IME greatly appreciates the assistance that has been given by Medicaid providers, the Iowa Association of Community Providers and case managers.